

EXPRESS MAIL LABEL NO.: EU537519225US DATE OF DEPOSIT: Sept. 23 2003
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**ENABLING COUNTRY OF ORIGIN LABELING AND VERIFICATION FOR
LIVESTOCK PRODUCTS**

FIELD OF THE INVENTION

The present invention relates to livestock (such as cattle, sheep, and hogs) and livestock products (such as beef, lamb, and pork), and more particularly to techniques that enable country of origin labeling and verification thereof.

BACKGROUND OF THE INVENTION

According to the Foreign Agricultural Service ("FAS") of the United States Department of Agriculture ("USDA"), approximately 2.5 million cattle were imported into the United States in calendar year 2002. Of these 2.5 million cattle, approximately 1.02 million (or roughly 40.8 percent) were imported for "direct slaughter". See "Country of Origin

Labeling: A Legal and Economic Analysis", J. VanSickle et al., PBTC 03-5, University of Florida Institute of Food and Agricultural Sciences (May 2003), p. 10, citing statistics from the USDA's FAS Web site.

5

That is, these 1.02 million cattle were imported into the U. S. for delivery to slaughterhouses or meat packing plants (hereinafter, "packers"), where they were to be slaughtered prior to undergoing various forms of processing. The remaining
10 1.48 million cattle imports were destined for farms, feedlots, and so forth, and therefore many of these imported cattle will also eventually reach the packers after spending additional time in the United States (e.g., to be fattened in a feedlot).

15 Some of the meat derived from cattle imported into the U. S. for processing is subsequently exported for sale, and some remains in the U. S., where it is sold to various purchasers (including retail outlets which sell meat products for purchase by consumers).

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A large number of cattle are also exported from the U. S. every year. In some cases, these cattle are slaughtered after export and the resulting carcasses are imported back into the U. S. for processing such as cutting and packaging. In addition,

carcasses from cattle slaughtered in the U. S. may be exported to other countries for processing, after which the processed meat may be imported into the U. S. for sale.

5 In today's global economy, this shipping of live animals and of meat from one country to another is increasingly common. It is also common for meat products to be sold which are mixtures of ingredients from more than one country. Ground beef sold in American supermarkets, for example, often contains a
10 mixture of imported and domestic beef and beef trimmings.

A large number of consumers may be unaware that the meat they purchase at their local supermarket is of foreign origin or has undergone foreign processing. Recent media coverage of
15 health issues such as genetically-altered animals and bovine spongiform encephalopathy (commonly referred to as "mad cow disease") has increased consumers' concerns about the origin of their meat.

20 Legislation has recently been passed in the U. S. that will require specified "covered commodities" to include country-of-origin labeling by September 30, 2004. See Farm Security and Rural Investment Act of 2002 (commonly referred to as the "2002 Farm Act" or "2002 Farm Bill"), Public Law 107-171 (7 U.S.C.

1638 - 1638d), subtitle D, "Country of Origin Labeling".

Covered commodity, as defined therein, includes "muscle cuts of beef, lamb, and pork" as well as "ground beef, ground lamb, and ground pork". *Id.*, §281 (2) (A). (Other covered commodities
5 include fish, peanuts, and perishable agricultural commodities.)

This legislation states that retailers shall inform consumers of the country of origin of covered commodities. *Id.*, §282 (a) (1). A label, stamp, mark, placard, or other clear and
10 visible sign must be used for this purpose. *Id.*, §282 (c). For beef, lamb, and pork, a covered commodity may be designated as having a U. S. country of origin only if it is exclusively from an animal that was born, raised, and slaughtered in the United States (with a narrowly-written caveat pertaining to the
15 transportation of cattle). *Id.*, §282 (a) (2) (A) - (C).

Furthermore, this legislation states that the Secretary of Agriculture may require a verifiable recordkeeping audit trail, with which compliance can be verified, and that suppliers of
20 covered commodities shall provide information to retailers indicating the country of origin of a covered commodity. *Id.*, §282 (d), (e). However, a mandatory identification system shall not be used by the Secretary of Agriculture. *Id.*, §282 (f) (1).

Voluntary interim guidelines for country of origin labeling have been developed, and apply until regulations for a mandatory procedure are finalized. These voluntary guidelines are published in the Federal Register at Vol. 67, No. 198, pp. 63367
5 - 63375 (October 11, 2002), titled "Establishment of Guidelines for the Interim Voluntary Country of Origin Labeling of Beef, Lamb, Pork, Fish, Perishable Agricultural Commodities, and Peanuts Under the Authority of the Agricultural Marketing Act of 1946" (hereinafter, "the Voluntary Guidelines"). The Voluntary
10 Guidelines state that "suppliers throughout the production/marketing chain have a responsibility to maintain the necessary supporting records" for country of origin claims, and that self-certification is insufficient. *Id.*, p. 63374, § 3, "Recordkeeping", subsections (B), (C).

15
Accordingly, techniques are needed that enable compliance with this legislation, and more particularly, with the country of origin labeling and verification mandates described therein.

20 **SUMMARY OF THE INVENTION**

It is an object of the present invention to provide techniques for enabling country of origin labeling and verification.

It is another object of the present invention to define techniques for recordkeeping to support country of origin claims.

5 Still another object of the present invention is to enable third-party verification of country of origin claims.

Yet another object of the present invention is to provide techniques for recording animal transfers to support country of
10 origin claims.

Another object of the present invention is to provide techniques for tracking animals and/or animal products.

15 According to preferred embodiments, an "animal passport" is issued to animals upon transfer from one party to another. A unique passport number is assigned to the transferred animals, as a group. When any animals from that group are subsequently transferred, a new unique passport number is assigned to this
20 subsequent transfer, and that new passport number is associated with the previous passport number. In a similar manner, passport numbers are assigned to any other transfers, and the previous passport number is associated therewith, throughout an animal's lifetime. These passport numbers are recorded in a

repository, and provide a verifiable audit trail that may be used in country of origin labeling and/or verification. Passports may also, or alternatively, be used for transfers of animal products. Optionally, passports may be used to track
5 other information such as vaccinations and management issues.

BRIEF DESCRIPTION OF THE DRAWINGS

FIG. 1 provides a diagram illustrating use of animal passports to track animal transfers.

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FIG. 2 provides a sample animal passport that may be issued upon a first transfer of an animal or group of animals.

FIGs. 3A and 3B show samples of an animal passport issued
15 upon transfer of animals already covered by existing animal passports.

FIG. 4 is a sample registration form that may be used to gather information from parties who transfer animals.

20

FIG. 5 provides a flowchart illustrating logic underlying operation of preferred embodiments of the present invention.

FIG. 6 illustrates a sample graphical user interface

("GUI") display that may be used to enable retrieval of information represented by animal passports.

FIG. 7 illustrates a sample data structure that may be used to record animal passport information.

DETAILED DESCRIPTION OF EMBODIMENTS

The present invention provides novel techniques that enable country of origin labeling and verification. A source verification procedure and system are disclosed, whereby each transfer of one or more animals (and/or animal products) is documented and recorded in a repository. This source verification procedure and system are also referred to herein as an "animal passport" system, since an animal passport (i.e., certificate) is used for tracking transfers. A new passport is issued for every transfer, and a unique number is assigned to each such passport. At the same time, each passport carries the passport number of the preceding transfer (or transfers), such that a sequence of passport numbers can be established to identify all transfers occurring throughout the lifetime of the associated animal or animals (and/or for the associated animal products, as appropriate). (Hereinafter, preferred embodiments are described with reference to transfers of live animals. This is by way of illustration and not of limitation. Furthermore,

while preferred embodiments are described with reference to passport "numbers", this is for ease of reference. Other unique passport identifiers may be used as well, such as unique character strings or combinations of characters and numbers.)

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As stated earlier, the country of origin labeling requirements outlined in the 2002 Farm Act state that a mandatory identification system shall not be used. *Id.*, §282 (f)(1). This latter clause is interpreted to mean that per-animal identification cannot be required. The animal passport system of preferred embodiments is therefore adapted for transfers of groups of animals, and is described herein with reference to animal groups. However, techniques disclosed herein may also be used advantageously on a per-animal basis if desired, and use of animal passports for individual animals is therefore within the scope of the present invention.

In addition to not requiring individual animal identification, the source verification techniques disclosed herein are designed to provide a verifiable, auditable trail that is held by an independent third party, while minimizing cost and time requirements for participating suppliers and retailers (thereby minimizing cost increases that may need to be passed on to consumers).

Animal passports are described herein as printed documentation, and preferred embodiments are discussed in terms of information that may be extracted from that documentation and entered into a data repository maintained by the third party.

5 However, this is for purposes of illustration and not of limitation. As one alternative, animal passports may be created in electronic form (thereby eliminating the need for paper forms and transfer of information from those forms), and such alternatives are within the scope of the present invention.

10

Paper-based animal passport forms may optionally be printed on tamper-evident paper (using watermarks, for example).

Machine-readable information may optionally be printed on animal passports. For example, a barcode version or other scannable
15 representation may be used when printing the unique passport number on an animal passport. Electronically-generated animal passports may be encoded, preferably using existing encoding techniques (such as digital watermarks), to prevent forgery.

20 **FIG. 1** illustrates use of animal passports to track animal transfers. In this example, a group of animals is born on a ranch (referred to as "Ranch A") located within the United States. At some point, 100 of these animals are transported to a party referred to as "Auction Barn" in the figure. According

to preferred embodiments, an animal passport is created to document this transfer of 100 animals from Ranch A to Auction Barn, and "Passport 1" represents this transfer. (**FIG. 1** uses the notation of an encircled number to represent the number of animals in a particular group, and passport numbers are represented therein using single digits for ease of illustration.) Passport 1 is described in more detail with reference to **FIG. 2**, below (where a sample passport number of "03000001" is used).

10

At auction, suppose 40 of the 100 animals from Ranch A are sold to a new owner, "Feedlot A". According to preferred embodiments, a new animal passport (denoted as "Passport 4" in the figure) is created to document this transfer. Passport 4, representing a subsequent transfer of a portion of the animals covered by a previous passport, is described in more detail with reference to **FIG. 3A** (where the passport number "04004321" is used).

20

Further suppose that "Ranch B" transferred 27 animals to Auction Barn, where "Passport 2" represents that transfer, and that these 27 animals are sold, along with the remaining 60 animals from Ranch A, to a new owner "Feedlot B". To document this transfer of 87 animals from Auction Barn to Feedlot B,

"Passport 5" is created. Passport 5 is described in more detail with reference to **FIG. 3B** (where the passport number "09090909" is used).

5 Note that while discussions herein refer to issuing a new passport upon a transfer of ownership, this is by way of illustration and not of limitation. Passports may be issued for other types of transfer, including but not limited to custodial or possessory transfers.

10

 In the example shown in **FIG. 1**, the animal passport denoted as "Passport 1" is the original passport for this group of animals. A sample passport **200** documenting a first transfer of this type is shown in **FIG. 2**. As shown therein, a unique
15 passport number **205** ("03000001", in this example) is associated with passport **200**, and a section **270** usable for recording previous passport numbers associated with the transferred animals is empty in this case.

20

 As discussed above, preferred embodiments use a single passport for an entire group of animals being transferred. Therefore, sample passport **200** provides for a specification of the number of animals transferred in the present group and a description of those animals. See reference numbers **210** and

212, respectively. (The animal description may be made with reference to physical characteristics of the animals and/or with reference to identifiers such as brands, tattoos, ear tags, biometric identification, and so forth.) In addition, the
5 location **214** and date **216** of the transfer are specified in preferred embodiments.

This sample passport **200** also provides a record of the transferring parties, which are identified in this example
10 passport format as the transferor (e.g., seller or seller's agent) and the transferee (e.g., buyer or buyer's agent). See reference numbers **230** and **250**, respectively. According to preferred embodiments, each party signs and dates the passport **200**, affirming or certifying the transfer.

15

While the Voluntary Guidelines state that self-certification is not sufficient, as noted above, this is interpreted to mean that a third party must be involved for maintaining information used in verifying audit trails for
20 country of origin claims. (Notably, the 2002 Farm Act legislation is silent on the topic of self-certification.) Thus, in preferred embodiments, each party signing an animal passport certifies information within the knowledge and belief of that party. (In an actual animal passport implementation,

the statements **220, 240** shown above the parties' signatures may be altered from the sample language shown in **FIG. 2**, without deviating from the scope of the present invention.)

5 Signatures on an animal passport may optionally be used to verify ownership transfers, for example, if a country of original claim is audited.

10 It may happen that additional signatures are provided on animal passports. For example, signatures of transferring parties may require notarization in some cases, and thus a passport format may be used which accommodates such additional signatures.

15 Optionally, the transferee's capacity may be indicated, as shown at **260**. If the new owner is not physically present at the time of sale or transfer, for example, a buyer's agent might sign the passport at reference number **250**. (In some cases, it may be useful to specify the transferor's capacity as well,
20 although this has not been illustrated in the sample passports. For example, a seller's agent might be authorized to sign on behalf of the seller.)

As described below with reference to **FIG. 5**, a copy of the

new passport is provided to the transferor and the transferee, and a copy (which is preferably the signed original) is also submitted to the third party.

5 Returning now to the transfer scenario depicted in **FIG. 1**, the 127 animals transferred to Auction Barn are sold, in this example, to Feedlot A and Feedlot B, and according to preferred embodiments, new passports "Passport 4" and "Passport 5" are created to record both of these transfers. These new passports
10 will now be described with reference to the sample passports **300** and **380** in **FIGs. 3A** and **3B**.

According to preferred embodiments, a single passport format is used, whether that passport documents an original or
15 first transfer (illustrated by sample passport **200** in **FIG. 2**) or a transfer of animals for which one or more existing animal passports have previously been created. Thus, sample passports **300** and **380** in **FIGs. 3A** and **3B** use the same format illustrated in **FIG. 2**.

20

Referring first to **FIG. 3A**, in this example, sample passport **300** corresponds to "Passport 4" in **FIG. 1**, and represents 40 of the 100 animals from Ranch A. As stated above, a new passport number is associated with each transfer, and this

number ("04004321", in the example) is represented at reference number **305**. Information pertaining to this transfer, such as the number and description of animals, location and date of transfer, and identification of the transferring parties (as well as signatures thereof, etc.) is preferably provided in an analogous manner to that which has been described with reference to **FIG. 2**.

Notably, however, section **370** in this subsequent-transfer example records the previous passport number associated with the transferred animals. In the hypothetical transfer, these 40 animals (as noted at reference number **310**) were purchased by this buyer ("Feedlot A") from Auction Barn (as shown at reference numbers **330** and **350**), and a previous transfer for those 40 animals is documented in animal passport "03000001" (see reference number **371**). This passport "03000001" is exemplified by sample passport **200** of **FIG. 2**.

An animal passport **380** created to record the sale of 87 animals from Auction Barn to Feedlot B, shown in **FIG. 3B**, references passport "03000001" (see reference number **391**) and also passport "02000200" (see reference number **392**) since in the example, the 87 animals in this transfer originated from two separate groups.

The transfers documented by Passport 4 and Passport 5 in the example scenario illustrated in **FIG. 1** show animals from one source being split into two groups for a subsequent transfer and
5 animals from two sources being combined into one group for a subsequent transfer. In both cases, a separate passport is created for the subsequent transfer, and each of those passports has its own unique passport number, as stated earlier. Each passport also records, in preferred embodiments, the previous
10 passport number with which each group of animals was most recently transferred.

Additional transfers depicted in **FIG. 1** will now be described.

15

Suppose the 40 animals transferred to Feedlot A are eventually split into two groups having 10 and 30 animals, and that the group of 10 animals is sold to "Packer A" while the group of 30 animals is sold to "Packer B". Two additional
20 passports are created to document these transfers, in preferred embodiments, and are illustrated in **FIG. 1** as "Passport 7" and "Passport 8", respectively. Each of these uniquely-numbered passports will refer to the previous passport for its covered animals, which in both cases will be passport "04004321" (shown

in **FIG. 3A**). Packer 1 can therefore trace the origin of its 10 head of cattle back to the transfer of 40 cattle from Auction Barn to Feedlot A, and then back to the transfer of 100 cattle from Ranch A to Auction Barn. Similarly, Packer 2 can trace its
5 30 head of cattle back through the sequence of transfers to the original 100 head of cattle from Ranch A.

FIG. 1 also shows 80 head of cattle transferred from "Ranch C" to "Order Buyer", where this transfer is documented in
10 "Passport 3". Subsequently, Order Buyer transfers these 80 cattle to Feedlot B, as denoted in the example by "Passport 6". Feedlot B therefore has a total of 167 cattle, in the example, and at some point, these 167 cattle are transferred to Packer 2, as denoted by "Passport 9". Passports 3 and 6 will each refer
15 to a single previous transfer, in this example, and Passport 9 will refer to two previous transfers (in a similar manner to that which has been depicted at reference numbers **391** and **392** in **FIG. 3B**).

20 Preferably, animal passports are also used to record transfers of animal products such as meat. Therefore, Packer 1 and Packer 2 create new animal passports for each transfer to retailers (or other intermediaries, as appropriate), where the previous passport number(s) therein refer to the passport

number(s) documenting transfer of the live animals to the respective packer.

As demonstrated by these examples, the animal passport system disclosed herein is easy to use and enables tracking animals through various transfers (while not requiring individual animal identification).

According to preferred embodiments, a number of the parties using animal passports are registered with the third party. In particular, at a minimum, each transferor must be registered, according to techniques disclosed herein. This registration will now be described with reference to the sample registration form **400** depicted in **FIG. 4**. As shown therein, a variety of information may be deemed useful by the third party. The name and contact information for each transferor, as illustrated at reference number **405**, is specified on the registration form, and a date **410** upon which the form was completed is preferably specified as well.

Information related to those parties who are authorized to sign on behalf of the registering party is preferably specified, as illustrated at reference number **420**. Optionally, information describing how this registering party typically identifies its

animals may be provided (see reference number **430**). In addition, an estimate of the number (and type) of animals transferred, and/or the number of transfers expected within a particular period, may also be deemed useful for the third party
5 (as illustrated by reference number **440**).

A farm or ranch owner, for example, completes a registration form of the type illustrated in **FIG 4**. Auction barns, feedlots, and other parties that may transfer animals
10 preferably complete a registration form as well. Note that while the example scenarios described above refer to transfers of live animals, this is by way of illustration and not of limitation. Parties that do not transfer live animals may register with the third party (e.g., in their capacity as a
15 transferor of meat products) using a registration form similar to that shown in **FIG. 4**.

Preferably, completion of a registration form (and payment of a registration fee, according to preferred embodiments)
20 triggers a distribution of some number of uniquely-numbered animal passport forms to the registering party. These passport forms are then maintained by that party, and one is completed upon each transfer of a group of animals. Thus, for example, an animal passport as illustrated at **200** in **FIG. 2** might be

completed by a rancher selling animals born on his ranch, and a passport as illustrated at **300** in **FIG. 3A** might be completed by an auction barn representative as the auction barn sells animals to a feedlot.

5

Distribution of multiple passport forms in this manner enables the parties to easily complete transfer documentation. As one alternative approach, uniquely-numbered passport forms may be distributed responsive to requests submitted at, or
10 following, each animal transfer. As another alternative approach, an implementation of the present invention providing electronic animal passports may be configured to generate unique passport numbers as each passport is created (preferably, contemporaneously with an animal transfer).

15

The party registration and distribution of animal passport forms (when applicable) to that party is shown at Block **500** in **FIG. 5** as an initial step in the operation of preferred embodiments. Upon a transfer, a passport form is completed
20 (Block **510**), as has been illustrated with reference to the examples in **FIGs. 2** and **3A - 3B**. The completed passport is signed (Block **520**) by the transferor and transferee (or their agents, as has been discussed earlier), certifying the change in ownership. If the passport covers animals raised by the

transferor, then his signature preferably certifies that the animals were raised on his premises and are being delivered to the party providing the second signature. Otherwise, these are animals the transferor previously obtained from another party.

5 In this case, the transferor's signature preferably certifies that he has provided the proper passport number(s) previously associated with this group of animals, and that those animals were physically located within the United States at all times while owned by this transferor (with a possible exception in
10 compliance with the caveat for transfer of cattle through Canada, specified at §282 (a)(2)(A) in the 2002 Farm Act).

In addition to certifying that the covered animals were located in the United States, the location(s) where they were
15 kept may optionally be specified as well. Many registered parties may operate in a single physical location. In that case, specifying a transferring party's name on an animal passport provides information usable for identifying the location of the covered animals for the period of time
20 represented by this passport. On the other hand, if the transferor operates in multiple locations, then a location or location identifier may be specified on the animal passport for this purpose. Or, in another approach, a separate registration may be required for each such location. In this latter case, an

identifier such as a registration number may be uniquely associated with each registration, and specifying this registration number on an animal passport provides information usable for identifying the location of the covered animals for
5 the relevant time period.

Optionally, an implementation of the present invention may be adapted for tracking transfers into the United States and/or out of the United States, in addition to transfers within the
10 United States. Therefore, the transferor's signature may certify that the covered animals are being transferred from a foreign country, in which case the animal passport format is preferably adapted for recording the foreign country name or an identifier thereof.

15

Returning to the discussion of Block **520** in **FIG. 5**, the signature of the transferee preferably certifies that he took possession of the animals. Discussions above of preferred embodiments are in terms of a "buyer" or "new owner" taking
20 ownership of the animals, and signing the passport accordingly. However, it may also happen that this second signer is not the true owner, but an agent of that owner. So, for example, an ordering agent might sign on behalf of the new owner. Or, an authorized person at an auction barn might sign for the new

owner, or a trucker who loads the animals for delivery to the new owner might be authorized to sign the passport. In alternative embodiments, passports might be created to record each custodial or possessory transfer, even though an ownership
5 change does not necessarily accompany each such transfer. In this alternative approach, for example, a passport may be created when a trucker takes possession of animals from their owner's premises for transportation to another location; thereafter, a new passport may be created when possession of
10 those animals is transferred to another party such as a feedlot owner or an auction barn. (As will be obvious, while it provides more fine-grained information, this alternative approach increases the number of passports.)

15 Preferably, a copy of the completed passport is provided to the transferor and transferee, and the signed original is transmitted to the third party (Block **530**). Information from this passport is recorded in the repository maintained by the third party (Block **540**).

20

The processing of Blocks **510 - 540** may iterate, as denoted as **550**, as subsequent transfers occur for covered animals or animal groups. Eventually, when animals covered by a passport (or sequence of passports, as described herein) are slaughtered,

products (meat, in particular) from those animals are delivered to retailers (Block **560**). According to the Farm Act of 2002, country of origin information must be provided to the retailer (Block **570**) by suppliers of covered commodities, such that the
5 retailer can affix a country of origin label (Block **580**) or similar indicia. The animal passport techniques disclosed herein enable this country of origin information to be uniquely represented by the animal passports (and the transfers represented therein). Thus, a supplier of the animal products
10 delivered at Block **550** preferably provides the retailer with a new passport of the form disclosed herein that documents the transfer to the retailer; or, if passports as disclosed herein are used only to document transfers of live animals, the supplier preferably provides a copy of the most-recent passport
15 associated with the animals from which the animal products originated. (Alternatively, rather than providing copies of previously-issued passports, suppliers might provide retailers with passport numbers associated with those passports. Such passport numbers, having been recorded in a registry at Block
20 **540**, may be used to retrieve information usable for determining country of origin information. See, for example, the description of **FIG. 6**, discussing how information may be retrieved from a third-party registry.)

Having the passport number sequence associated with the delivered animal products, the retailer can easily construct a chain of transfers and can thereby demonstrate that the products to be sold at retail are within the legal requirements for the country of origin claim under the 2002 Farm Act. (This chain may be constructed by another and its end result provided to the retailer, although the retailer is ultimately responsible for ensuring that an accurate claim is made to the consumer.)

10 In some cases, packers may associate a "lot number" or similar identifier with covered commodities (recording, for example, an internal tracking number associated with the slaughter of a particular group of animals). The animal passport may optionally be extended to include this type of lot number. For example, suppose that Packer A designates meat processed on a certain date with a lot number "Packer_A_Oct202003". This lot number may be recorded on the outside of cases of the meat. Lot numbers may be associated with animal passport numbers such that a retailer receiving a case of meat can readily determine, from the lot number, the proper country of origin for this meat.

If verification of a country of origin claim is desired, the chain of passports (and underlying transfers) can readily be

inspected through their unique passport numbers. This is represented at Block **590** of **FIG. 5**. This verification may be performed as an audit by the Secretary of Agriculture. The third party providing the passport system may enable others to
5 perform verifications as well, if desired. One manner in which a verification feature may be provided is illustrated by the GUI display **600** in **FIG. 6**, as will now be described.

FIG. 6 illustrates a sample GUI display **600** that may be
10 used to enable retrieval of animal transfer information represented by animal passports. A GUI display of this type may be provided by the third party maintaining the repository in which animal passport information is stored. As will be obvious, the information depicted in sample display **600** is
15 merely illustrative of the types of information that may be retrieved from the repository and the manner in which that information may be presented to an end user.

In this sample display, a data entry area **610** is provided
20 for entering a passport number of interest. Passport number "09090909" has been entered in the example, and information (shown generally by reference numbers **620**, **630**) has been retrieved from the repository and used to populate the display **600**. In particular, the number of animals covered by the

entered passport number is retrieved and displayed at **621**, along with an identification **622**, **623** of the transferor and transferee associated with this passport (and the transfer it represents) and the date **624** and location **625** of the transfer.

5

The previous passport number(s) associated with the passport number entered at **610** are also retrieved and displayed, as shown at **630**. Preferably, means are provided for easily retrieving information associated with those passports. In the
10 example, instructions on the GUI inform the user that the displayed passport numbers can be clicked on to see details associated therewith (in which case a display providing information of the form shown in **FIG. 6** is preferably provided for each such clicked-on passport number).

15

A GUI display provided for an implementation of the present invention may choose to present only the most-recent passport number(s), i.e., the passport number(s) recorded on the passport identified at reference number **610** (as has been illustrated at
20 **630** in FIG. 6, where the passport numbers specified at reference numbers **391** and **392** in **FIG. 3B** are presented). In addition or instead, a GUI display may provide an at-a-glance view of the complete trail or chain of passport numbers. This information is preferably obtained by using the entered passport number

("09090909", in this example) to access the passport repository, locating each passport number associated therewith, and then recursively locating each passport number associated with those passport numbers until reaching source or original passports (i.e., passports having no previous passports associated with them, such as sample passport **200** of **FIG. 2**). This at-a-glance chain of passport numbers may be depicted in various manners. For example, a textual description or list may be provided, stating the previous passport number(s) associated with each passport number. Or, a graphical depiction (such as a hierarchical "tree" format) may be provided.

Sample GUI display **600** also illustrates a "does" or "does not" decision that may be made regarding whether the animals represented by the entered passport number qualify for a United States country of origin claim under the 2002 Farm Act. See reference number **640**. Preferably, this is determined by tracing the animal passport chain to its origin, searching for any disqualifying transfers. One manner in which this may be determined will now be described with reference to **FIG. 7**.

FIG. 7 illustrates a sample data structure **700** that may be used to record animal passport information. (Additional data structures, not shown, are preferably used to record other

information such as details of party registrations.) GUI displays of the type illustrated in **FIG. 6** may then be created by querying this data to provide information about particular passports. As shown in **FIG. 7**, a passport number field **701** is preferably used as an index to information stored in a repository (such as a database).

Additional information recorded in the passport repository for each passport preferably includes: the date **702** of the associated animal transfer; a name or identifier or the transferor(s) **703** and transferee(s) **704**; the number of head that were transferred; a yes/no indication **705** (which may be indicated using a bitstring or other shorthand representation) as to whether the animals were physically located within the United States (or were in transit through Canada as allowed by §282 (a)(2)(A) of the 2002 Farm Act) at all times relevant to this passport; and a list of any previous passport numbers that were identified (preferably, by the transferor) on the subject passport.

In the sample data structure **700**, three rows **710**, **720**, **730** are illustrated. These rows correspond generally to the sample passports depicted in **FIGs. 3A**, **3B**, and **2**, respectively. Row

720, in this example, corresponds to the information depicted in the sample GUI display **600** in **FIG. 6**.

If an embodiment of the animal passport system provides
5 individual animal identification instead of identification of animal groups, data structure **700** may be modified accordingly. For example, an animal identifier field may be added to data structure **700**, wherein an animal identifier may be specified. Or, when individual animal identifiers are recorded in addition
10 to the preferred approach of tracking animal transfers by group, then an additional field in data structure **700** may specify some number of individual animal identifiers for the animals within this particular group (and the passport format is preferably adapted for specifying these animal identifiers as well);
15 alternatively, a pointer or other reference to a separately-stored list of animal identifiers may be stored in data structure **700** in this case.

Additional types of information not shown in **FIG. 7** may
20 also be recorded in the passport repository (such as the location of transfer, capacity of signing transferor and/or transferee, and so forth).

As has been demonstrated, the present invention defines novel techniques for tracking information about animals and transfers thereof. This information may be used advantageously in a number of ways, including for source verification, for
5 country of origin claim determination, and/or for verifying country of origin claims. As stated earlier, the animal passport techniques disclosed herein may be used for live animals and/or for animal products such as meat.

10 In alternative embodiments, the disclosed animal passports may be used for one or more of the other "covered commodities" addressed by the 2002 Farm Act. For example, passports may be created to document transfers of fish. The disclosed techniques may also be adapted for use with peanuts and/or perishable
15 agricultural commodities. Recording transfers of such covered commodities using a passport system enables efficient retrieval of information that is usable in determining country of origin claims and/or in verifying those claims, in a similar manner to that which has been described above for animal passports of
20 preferred embodiments.

While discussions herein are primarily in terms of recording transfers and locations within the United States, this is by way of illustration and not of limitation. Animal

passports may include names or identifiers of other countries in which covered commodities were born, raised, or slaughtered, and this information may be captured in a passport repository (e.g., by extending the fields shown in **FIG. 7** to include country identifiers). In cases where a covered commodity is not exclusively a product born, raised, and slaughtered in the United States, these extensions may be used in generating a country of origin label reflecting all pertinent countries.

It is noted that the Voluntary Guidelines state that, once a covered commodity reaches the "threshold point" at which the country of origin is determined, export of that commodity and subsequent re-import does not necessarily preclude a country of origin claim identifying the United States. That is, if the covered commodity is born, raised, and slaughtered in the United States (where these acts comprise a "threshold" established by the 2002 Farm Act) but the carcass is subsequently exported (e.g., for further cutting and packaging), then products resulting from processing the carcass in a foreign country still qualify for a U. S. country of origin claim "if a verifiable recordkeeping system is in place". Voluntary Guidelines, p. 63373. Accordingly, an implementation of the present invention may be adapted for enabling this type of verification. For example, a special designation might be provided on animal

passports and/or in data structure **700** to indicate a "post-slaughter" transfer.

Preferably, access to a data repository containing
5 information such as that illustrated in **FIG. 7** is provided
through an Internet or Web presence, such as a Web page provided
by the third party maintaining the data repository. Retailers
may then access this Web presence in real time (using, for
example, a GUI display such as display **600** in **FIG. 6**) to check
10 the passport chain for selected animal products (e.g., meat) or
other covered commodities (as applicable), thereby determining
what country/countries of origin should be stated on a country
of origin label. Suppliers such as growers, auction barns, and
feedlots may also be given access to this Web presence (or a
15 similar retrieval mechanism). Optionally, fees may be charged
for using the third party registry for this type of query. A
repository of authorized users is preferably maintained using
well-known techniques (such as a system verifying a user
identification or "user ID" via a password), and the Secretary
20 of Agriculture is preferably an authorized user (and is given
free access).

Optionally, the third party may authorize others to enter
passport information into the passport repository (preferably,

through a user ID and password system or similar user authorization means). For example, personnel at auction barns may be authorized for this type of data input. In addition, automated systems may be adapted for interfacing with the animal passport repository to provide input directly into the passport repository. As an example, a software system with which auction barns process auction sales may be extended to capture information relevant to animal passports (or, animal passport information may be extracted from data already captured by such software), and this information may be electronically submitted to the third party repository.

By way of illustration but not of limitation, discussions herein refer to an animal passport repository maintained by a single third party. Alternatively, more than one repository may be used, where these multiple repositories are preferably operably interconnected, and/or responsibility for one or more animal passport repositories may be shared among multiple "third party" entities.

The passport techniques disclosed herein may also (or alternatively) be used for tracking other types of information. In livestock production, for example, it is often useful to maintain information about what vaccinations have been given to

animals (and when), along with various types of information deemed advantageous for livestock management (such as weaning records, information about whether animals are trained for eating from feed bunks, whether any type of implants have been used on these animals, and so forth). Passports may be used for tracking events of this type, and relevant queries can then be issued against a repository of such passports, thereby providing (for example) an auditable trail that may be of interest to potential animal buyers. Queries of such information may also be used to reduce time and effort. For example, when it can be determined that vaccinations are current for animals arriving at a feedlot by following an audit trail using an animal passport, the feedlot may avoid duplicate vaccination of those animals. Or, this type of audit trail might be useful when animals are consigned to an auction barn, where a verifiable determination of vaccination history may lead to a higher selling price. As another example, events tracked using animal passports may be used to determine whether the covered animals qualify for claims of "implant-free" or "organic".

20

If a disease outbreak occurs in a foreign country, embodiments of the present invention that track animal transfers including those in foreign countries may be used to determine whether a particular animal or group of animals has ever been

located in the affected country. Or, when a sequence of animal transfers is shown to place animals within the United States throughout their lifetime, it can be concluded that those animals were not located in the affected country.

5

Consumer confidence in animal products sold by retailers may be expected to improve when techniques disclosed herein are employed, as anticipated by the 2002 Farm Act.

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Neither the Voluntary Guidelines or the 2002 Farm Act prescribes how country of origin information is to be documented, nor how audits or verification procedures are to be implemented. Examples of records that may be useful for country of origin verification purposes are provided by the USDA

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Agricultural Marketing Service ("AMS") as a one-page chart for each type of covered commodity. (For example, beef-related commodities are provided in one chart, pork-related commodities in another chart, and so forth.) The Internet-provided introduction to these charts states that while the charts

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provide examples, these examples, "although extensive, are not inclusive of all documents and records that may be useful to verify compliance". (See <http://www.ams.usda.gov/cool/>

records.htm.) The one-page chart for cattle, for example, identifies approximately 46 different types of records (although some overlap may exist). (See <http://www.ams.usda.gov/cool/coolbeef.pdf>.) The Internet-provided introduction also states
5 that the list of documents and records "will not necessarily ensure compliance" for country of origin labeling provisions of the 2002 Farm Act. This approach of specifying a voluminous number of records which may or may not be sufficient may result in confusion and uncertainty, as well as placing a serious
10 administrative burden on producers. In contrast, animal passports as disclosed herein record information pertaining to tracking of animal transfers in a straightforward, efficient manner.

15 An advantage of using unique animal passport numbers, as disclosed herein, is that an auditable trail can be quickly established, and automated means may be easily created for performing this operation. For example, by review of the sample passports, data structure, and GUI display illustrated herein,
20 one of skill in the art can readily construct a computer program for use in retrieving transfer information, checking a country of origin claim, and so forth.

Another advantage of the disclosed techniques is the flexible and efficient manner in which transfers of split groups and combined or co-mingled groups of animals can be documented (as has been explained with reference to the example transfers in **FIG. 1**, and more particularly with reference to sample passports in **FIGs. 3A** and **3B**, above). Most animals are transferred in groups, rather than one at a time, and the disclosed techniques are designed to support group transfer scenarios.

10

The present invention has been described with respect to several variations of possible embodiments which are illustrative, and are not meant to and should not be construed to limit the invention. Those skilled in the art will understand that variations from the embodiments described herein may be made without departing from the invention as claimed in the appended claims.

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In particular, while preferred embodiments have been described with reference to use of the animal passport system for tracking cattle, the teachings disclosed herein may be applied advantageously to other livestock as well as other covered commodities included under the 2002 Farm Act.

20

The present invention has been described herein with reference to flowchart illustrations. As will be obvious to one of ordinary skill in the art, these flowcharts are merely illustrative of the manner in which preferred embodiments of the present invention may be implemented, and changes may be made to the logic that is illustrated therein (for example, by altering the order of operations shown in some cases, by combining operations, etc.) without deviating from the inventive concepts disclosed herein. Embodiments of the present invention may be provided as methods, systems (apparatus), and/or methods of doing business. Embodiments of techniques disclosed herein may also or alternatively be provided as computer programs which store and/or retrieve animal passport information.